

01-17-01

PTO/SB/05 (12/97)

Please type a plus sign (+) inside this box → ☐Approved for use through 09/30/00. OMB 0651-0032
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number

**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No.

00R2E101

First Named Inventor or Application Identifier

Mark L. Wrigley

Title

PLATFORM INDEPENDENT AND NON-INVASIVE FINANCIAL
REPORT MARK-UP

Express Mail Label No.

EI 704727623 US

APPLICATION ELEMENTS

See MPEP Chapter 600 concerning utility patent application contents

ADDRESS TO:Assistant Commissioner for Patents
Box Patent Application
Washington, DC 202311. ☒ Fee Transmittal Form (e.g., PTO/SB/17)
(Submit an original, and a duplicate for fee processing)6. ☐ Microfiche Computer Program (Appendix)2. ☒ Specification [Total Pages **53**]
(preferred arrangement set forth below)7. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)

- Descriptive title of the invention

- Cross References to Related Applications

- Statement Regarding Fed sponsored R&D

- Reference to Microfiche Appendix

- Background of the invention

- Brief Summary of the invention

- Brief Description of the Drawings (if filed)

- Detailed Description

- Claim(s) - INCLUDED

- Abstract of the Disclosure - INCLUDED

a. ☐ Computer Readable Copyb. ☐ Paper Copy (identical to computer copy)c. ☐ Statement verifying identical of above copies3. ☒ Drawing(s) (35 USC d113) [Total Sheets **8**]4. Oath or Declaration [Total Pages **3**]
(including Supplemental Declaration)a. ☒ Executed (original or copy)b. ☐ Copy from a prior application (37 CFR §1.63(d))
(for continuation/divisional with Box 17 completed)

[Note Box 5 below]

i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s)
named in the prior application,
see 37 CFR §1.63(d)(2) and 1.33(b).5. ☐ Incorporation By Reference (useable if Box 4b is checked)
The entire disclosure of the prior application, from which a copy of
the oath or declaration is supplied under Box 4b, is considered as
being part of the disclosure of the accompanying application and is
hereby incorporated by reference therein**ACCOMPANYING APPLICATION PARTS**8. ☐ Assignment Papers (cover sheet & Documents(s))9. ☐ 37 CFR §3 73(b) Statement ☒ Power of
(when there is an assignee) Attorney10. ☐ English Translation Document (if applicable)11. ☐ Information Disclosure ☐ Copies of IDS
Statement (IDS)/PTO-1449 Citations12. ☐ Preliminary Amendment13. ☒ Return Receipt Postcard (MPEP 503)
(Should be specifically itemized)14. ☒ Small Entity ☐ Statement filed in prior application
Statement(s) Status still proper and desired
(PTO/SB/09-12)15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)16. ☐ Other. A check in the amount of \$355.00.*A new statement is required to be entitled to pay small entity fees, except
where one has been filed in a prior application and is being relied upon.

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information below and in a preliminary amendment:

☐ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of US Patent Application No:

Prior application information: Anticipated Examiner:

18. CORRESPONDENCE ADDRESS

Customer Number or Bar Code Label

(Insert Customer No. or Attach bar code label here)

or ☐

Correspondence address below

020790

NAME

**Shayne X. Short, Ph.D.
Akin, Gump, Strauss, Hauer & Feld, L.L.P.**

ADDRESS

816 Congress Avenue, Suite 1900

CITY

Austin

STATE

Texas

ZIP CODE

78701

COUNTRY

U.S.A.

TELEPHONE

(512) 499-6200

FAX

(512) 499-6290

Name (Print/Type)

Shayne X. Short, Ph.D.

Registration No. (Attorney/Agent)

45,105

Signature

*SX Short*DATE
01/16/01Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form
should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent
Application, Washington, DC 20231

FEE TRANSMITTAL

Patent fees are subject to annual revision on October 1.

These are the fees effective October 1, 1997

Small Entity payments must be supported by a small entity statement, otherwise large entity fees must be paid. See Forms PTO/SB/09-12.**Complete If Known**

Application Number	Unassigned
Filing Date	January 16, 2001
First Named Inventor	Mark L. Wrigley
Anticipated Examiner Name	Unassigned
Anticipated Group / Art Unit	Unassigned
Attorney Docket No.	00R2E101

TOTAL AMOUNT OF PAYMENT (\$355.00)

METHOD OF PAYMENT

- 1.
- ☒
- The Commissioner is hereby authorized to charge to the following Deposit Account,

Deposit Account Number

01-0660

Deposit Account Name

Akin Gump Strauss Hauer & Feld

- ☒
- Charge any additional fee required or credit any overpayment
- ☐
- Charge all indicated fees and any additional fee required or credit any overpayment

- 2.
- ☒
- Payment Enclosed:**

☒ Check
 ☐ Money Order
 ☐ Other
FEE CALCULATION**1. BASIC FILING FEE**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	\$355.00
106	310	206	155	Design filing fee	\$
107	480	207	240	Plant filing fee	\$
108	760	208	380	Reissue filing fee	\$
114	150	214	75	Provisional filing fee	\$
SUBTOTAL (1)					(\$355.00)

2. EXTRA CLAIM FEES

Total Claims	Extra Claims	Fee from below	Fee Paid
20	-20** = 0	0	0
Independent Claims	3	-3** = 0	0
Multiple Dependent		0	0

**or number previously paid, if greater; For Reissue, see below

103	18	203	9	Claims in excess of 20
102	78	202	39	Independent Claims in excess of 3
104	260	204	130	Multiple dependent claims in excess of 3
109	78	209	39	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$0.00)

FEE CALCULATION (continued)**3. ADDITIONAL FEES**

Large Fee Code	Entity Fee (\$)	Small Fee Code	Entity Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for reply within first month	
116	400	216	200	Extension of time within second month	
117	950	217	475	Extension of time within third month	
118	1,510	218	755	Extension of time within fourth month	
128	2,060	228	1,030	Extension of time within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,320	241	660	Petition to revive - unintentional	
142	1,320	242	660	Utility issue fee (or reissue)	
143	450	243	225	Design issue fee	
144	670	244	335	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	240	126	240	Submission of Information Disclosure Stmt.	
581	40	581	40	Recording each patent assignment per property (time number of properties)	
146	790	246	395	Filing a submission after final rejection (37 CFR 1 129(a))	
149	790	249	395	For each additional invention to be examined (37 CFR 1 129(b))	
Other fee (specify)					
Other fee (specify)					

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$0.00)

SUBMITTED BY

Typed or Printed Name

Shayne X. Short, Ph.D.

Signature



Date

01/16/01

Complete (if applicable)

Reg. Number

45,105

Deposit Account User ID

01-0660

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231